

1006 Rec'd PCT/PTO 26 SEP 2005

PTO-1390 (Rev. 02-2005)

Express Mail Label Number ED 795251500 US

Approved for use through 3/31/2007. OMB 0651-0021
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

| | | |
|--|--|--|
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371 | | ATTORNEY'S DOCKET NUMBER <div style="text-align: center;">2003DE108</div> |
| INTERNATIONAL APPLICATION NO. <div style="text-align: center;">PCT/EP2004/001799</div> | INTERNATIONAL FILING DATE <div style="text-align: center;">24 February 2004</div> | U.S. APPLICATION NO. (If known, see 37 CFR 1.5) <div style="text-align: center; font-size: 1.5em; font-weight: bold;">10/550995</div> |
| PRIORITY DATE CLAIMED <div style="text-align: center;">27 March 2003</div> | | |
| TITLE OF INVENTION Heterocyclic Dyes Based on Benzodipyrroles | | |
| APPLICANT(S) FOR DO/EO/US Heino HECKMANN and Andre WEISS | | |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | |
| 1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371. | | |
| 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371. | | |
| 3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. | | |
| 4. <input checked="" type="checkbox"/> The US has been elected (Article 31). | | |
| 5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) | | |
| a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). | | |
| b. <input type="checkbox"/> has been communicated by the International Bureau. | | |
| c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). | | |
| 6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). | | |
| a. <input checked="" type="checkbox"/> is attached hereto. | | |
| b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). | | |
| 7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) | | |
| a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). | | |
| b. <input type="checkbox"/> have been communicated by the International Bureau. | | |
| c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. | | |
| d. <input checked="" type="checkbox"/> have not been made and will not be made. | | |
| 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). | | |
| 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). | | |
| 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). | | |
| Items 11 to 20 below concern document(s) or information included: | | |
| 11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. | | |
| 12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. | | |
| 13. <input checked="" type="checkbox"/> A preliminary amendment. | | |
| 14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76. | | |
| 15. <input type="checkbox"/> A substitute specification. | | |
| 16. <input type="checkbox"/> A power of attorney and/or change of address letter. | | |
| 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825. | | |
| 18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4). | | |
| 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). | | |
| 20. <input checked="" type="checkbox"/> Other items or information: See Attachment 1 | | |

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

| | | | | | |
|---|--------------|---|---|---------------------------------------|--------------|
| U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <div style="font-size: 2em; font-weight: bold; text-align: center;">10/550995</div> | | INTERNATIONAL APPLICATION NO. PCT/EP2004/001799 | | ATTORNEY'S DOCKET NUMBER 2003DE108 | |
| The following fees have been submitted | | | | CALCULATIONS | PTO USE ONLY |
| 21. <input checked="" type="checkbox"/> Basic national fee..... \$300 | | | | \$ 300.00 | |
| 22. <input checked="" type="checkbox"/> Examination fee If International preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4)..... \$100 All other situations..... \$200 | | | | \$ 200.00 | |
| 23. <input checked="" type="checkbox"/> Search fee Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority..... \$100 International Search Report prepared and provided to the Office..... \$400 All other situations..... \$500 | | | | \$ 400.00 | |
| TOTAL OF 21, 22 and 23 = | | | | \$ 900.00 | |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof. | | | | | |
| Total Sheets | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE | | |
| 24 - 100 = | -94 /50 = | | x \$250 | \$ 0.00 | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(h)). | | | | \$ 0.00 | |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | | |
| Total claims | 15 - 20 = | 0 | x \$ 50 | \$ 0.00 | |
| Independent claims | 1 - 3 = | 0 | x \$ 200 | \$ 0.00 | |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | | + \$360 | \$ 0.00 |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$ 900.00 | |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2. | | | | 0.00 | |
| SUBTOTAL = | | | | \$ 900.00 | |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)). | | | | \$ 0.00 | |
| TOTAL NATIONAL FEE = | | | | \$ 900.00 | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property | | | | \$ 40.00 | |
| TOTAL FEES ENCLOSED = | | | | \$ 940.00 | |
| | | | | Amount to be refunded: | \$ |
| | | | | Amount to be charged: | \$ |
| a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed. b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>03-2060</u> in the amount of \$ <u>940.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>03-2060</u> . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038. | | | | | |
| NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status. | | | | | |
| SEND ALL CORRESPONDENCE TO: Anthony A. Bisulca Clariant Corporation Intellectual Property Law Department 4000 Monroe Road Charlotte, NC 28205 | | | <div style="font-size: 1.5em; font-family: cursive;">Anthony A. Bisulca</div> SIGNATURE Anthony A. Bisulca NAME 40,913 REGISTRATION NUMBER | | |
| CUSTOMER NO. 25,255 | | | | | |

10/550995

JC09 Rec'd PCT/PTO 26 SEP 2005

Addendum

Attachment 1

- Express Mail Label No. ED 795251500 US;
- Notification of the Recording of a Change (2 page);
- Copy of International Search Report (3 pages);

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Express Mail Label Number ED 795251500 US

Date of Mailing: September 26, 2005

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that on the date indicated above this International application and the documents referred to as enclosed therein, of:

- CERTIFICATION UNDER 37 CFR 1.10 (Express Mail) (1 page)
- TRANSMITTAL LETTER TO THE DO/EO/US (3 pages) w/ duplicate (6 pages)
- Executed Assignment with Transmittal Cover Letter (2 pages)
- Notification of the Recording of a Change (2 pages)
- Copy of International Search Report (3 pages)
- Preliminary Amendment & Abstract (8 pages)
- Copy of the International Application as filed (24 PAGES SPECIFICATION, claims) (claims 13 in number)
- Executed Declaration (2 pages)
- Postage pre-paid Postcard Receipt


**Inventors: Heino HECKMANN
Andre WEISS**

For: Heterocyclic Dyes Based on Benzodipyrroles

**International Application No.: PCT/EP2004/001799
International Filing Date: 24 February 2004 (24.02.2004)
Priority Filing Date: 27 March 2003 (27.03.2003)**

is being deposited with the United States Postal Service as "Post Office to Addressee" Express Mail addressed to the Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450, Mail Stop:, in accordance with 37 CFR 1.10.

Vicki L. Sgro



CUSTOMER NO. 25,255